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Special measures for protection from sexual exploitation and sexual abuse

Report of the Secretary-General

Summary

The present report contains data on allegations of sexual exploitation and abuse in the United Nations system for the period from 1 January to 31 December 2011. It also describes progress made in the enforcement of United Nations standards of conduct related to sexual exploitation and abuse.

The number of allegations received decreased, from 116 in 2010 to 102 in 2011. The number of allegations reported for the year under review is the lowest since data on sexual exploitation and sexual abuse were first collected and compiled. Consistent with figures reported for the past three years, 73 per cent of the allegations relate to personnel deployed in peacekeeping missions.

The task force established under the direction of the Inter-Agency Standing Committee and co-chaired by the United Nations Development Programme and the International Rescue Committee has taken a number of initiatives designed to support activities in the field related to the prevention of sexual exploitation and abuse.

Despite the progress achieved, efforts to enhance the existing prevention mechanisms and to enforce the zero tolerance policy have continued during the reporting period.

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I. Introduction

1. The present report is submitted in compliance with General Assembly resolution 57/306, in which the Assembly requested the Secretary-General to maintain data on investigations into sexual exploitation and related offences by humanitarian and peacekeeping personnel and all relevant actions taken thereon. Pursuant to that resolution, the Secretary-General issued a bulletin on special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13) that applies to all staff and related personnel of the United Nations, including staff of separately administered organs and programmes. As defined in the bulletin, "sexual exploitation" means any actual or attempted abuse of a position of vulnerability, differential power or trust for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another. The term "sexual abuse" means actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.

2. The present report provides information on the number and type of allegations of sexual exploitation and abuse received in 2011. It also sets out the status of investigations into those allegations, as at 31 December 2011, and describes the initiatives taken to enforce United Nations standards of conduct related to sexual exploitation and abuse.

II. Reports of sexual exploitation and abuse in 2011

3. Information on allegations of sexual exploitation or sexual abuse reported in 2011 was received from 44 entities, including departments and offices of the Secretariat as well as agencies, funds and programmes of the United Nations system. A list of those entities is provided in annex I. The number of allegations reported for 2011 by all entities totalled 102, compared with 116 reported in 2010. Seven entities reported having received one or more allegations, whereas 37 reported having received none.[1]

4. The nature of the allegations and the status of their review are detailed in annexes to the present report. The omission of a reference to a particular entity in those annexes means that no allegations were reported in regard to personnel of that entity. Allegations involving personnel deployed in peacekeeping and special political missions supported by the Department of Field Support concern civilian, military, police and corrections personnel and, as there are different follow-up procedures for each category, the categories are presented separately in the annexes.

5. Allegations of sexual exploitation and abuse against United Nations Secretariat staff members and related personnel are conveyed to the Office of Internal Oversight Services (OIOS). Allegations are then recorded, evaluated and prioritized for investigation, referral or suspension pending further information, or closed, as appropriate. Allegations that are prioritized for investigation undergo a preliminary

[1] While the Department of Political Affairs is counted as a separate entity, data related to special political missions supported by the Department of Field Support are included in the figures for the latter Department. Allegations made against United Nations Volunteers are included in the data provided by their host entity, since Volunteers fall under the category of United Nations-related personnel.

fact-finding inquiry to determine whether the evidence available warrants further investigation. If it is determined that the evidence available is sufficient to warrant proceeding with the case, the case remains open. During this phase, the assigned investigator verifies and ensures that all relevant information has been obtained from the complainant. It should be noted that investigations of alleged misconduct by military contingent personnel are governed under the revised model memorandum of understanding between troop-contributing countries and the Secretariat, as approved by the General Assembly in its resolution 61/267 B. Investigations of allegations in the separately administered funds and programmes of the United Nations are conducted by their respective investigative units, such as the Office of the Inspector General of the Office of the United Nations High Commissioner for Refugees (UNHCR), the Office of Audit and Investigations of the United Nations Development Programme (UNDP), the Office of Internal Audit of the United Nations Children's Fund (UNICEF) and the Internal Audit and Investigations Group of the United Nations Office for Project Services (UNOPS).

Allegations reported against United Nations staff members and related personnel other than those deployed in peacekeeping missions and special political missions supported by the Department of Field Support

6. Annex II contains details about the nature of allegations reported against United Nations staff members and related personnel other than those deployed in peacekeeping missions and special political missions supported by the Department of Field Support. Annex III describes the status of investigations into those allegations. As at 31 December 2011, 28 allegations of sexual exploitation and abuse had been made. The status of the allegations can be summarized as follows:

(a) One allegation of rape of a minor was reported against a staff member from the International Criminal Tribunal for Rwanda.[2] The outcome of the investigation was not known at the time of preparation of the present report;

(b) UNDP reported one allegation of sexual assault made against a staff member. The investigation report was submitted to the relevant offices for determination of the appropriate course of action;

(c) Nine cases were reported by UNHCR, all of them related to alleged exchange of money, employment, goods or services for sex by staff members of UNHCR (five) and related personnel (four). Four of the five allegations reported against staff members were found to be unsubstantiated, while the four allegations involving related personnel (one United Nations Volunteer (UNV) and three staff members of non-governmental organizations) were expected to be referred to the competent investigative body of the relevant agencies in early 2012. The ninth case was registered at the end of the reporting period and the investigation was therefore not completed by the end of the year under review;

(d) UNICEF reported five allegations for the year under review, all of them involving staff members. In two instances, the investigation could not substantiate

[2] Although the allegation was made prior to the current reporting period, the nature of the allegation was only confirmed during the year under review.

the allegations. One case involving a local staff member having a sexual relationship with a minor was prosecuted by the local authorities. Two investigations into allegations of sexual assault were pending at the end of the period under review;

(e) One complaint of sexual exploitation of a minor was filed against an individual related to UNOPS. The identity of the alleged perpetrator could not be established and the investigation was ongoing at the end of 2011;

(f) The United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) reported 10 allegations. All but one involved staff members. Four allegations of sex with a minor, sexual assault of a minor and other forms of sexual exploitation and abuse were closed or found to be unsubstantiated and five were forwarded to the competent human resource and legal services for action. One case of solicitation of a prostitute was pending at the end of the reporting period;

(g) One allegation falling in the category of other forms of sexual exploitation and abuse was reported against a United Nations Volunteer. The corresponding investigation report was under the review of the Advisory Panel on Disciplinary Measures at the end of the reporting period.

7. With only three allegations fewer than last year, there is not a significant decrease in the number of cases reported against staff members and related personnel other than those deployed in peacekeeping and special political missions. It should be noted that these allegations represent slightly over a quarter of the total number of allegations reported for 2011, which is consistent with the figures observed in previous years.

8. At the end of the reporting period, 61 per cent of the allegations had been investigated and 36 per cent of those cases were closed either because the allegations were found not to be substantiated or owing to a lack of sufficient supporting evidence.

9. During the reporting period, investigations into allegations reported in 2010 were also concluded. Of the 13 cases for which investigations were ongoing at the end of 2010, five were found to be unsubstantiated. One action regarding a consultant had been taken. For the remaining allegations, investigations were either still ongoing or the investigation report was under review by the relevant offices at the end of 2011.

Allegations reported against personnel deployed in peacekeeping missions and special political missions supported by the Department of Field Support

10. In 2011, 74 allegations of sexual exploitation and abuse involving personnel deployed in peacekeeping missions were received by OIOS, reflecting a decrease of 13 per cent compared with the 85 allegations received in 2010, and of 34 per cent from the 112 allegations received in 2009. It is also to be noted that no allegation was received in 2011 concerning special political missions supported by the Department of Field Support. The number of allegations received per month for each mission is set out in annex IV. Annex V contains information on the number of

allegations per category of personnel deployed in peacekeeping missions. Several figures have been included in the present report to provide more detailed analysis covering the period from 2008 to 2011: a comparison of the number of allegations per year is presented in figure I, per types of allegations in figure II and per missions in figure III, while figures IV and V show percentages of allegations by category of personnel and ratio by numbers of personnel deployed.

11. In 2011, allegations of sexual exploitation and abuse were received from the following eight peacekeeping missions: the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) received 31 allegations (42 per cent); the United Nations Stabilization Mission in Haiti (MINUSTAH) received 15 allegations (20 per cent); the United Nations Mission in Liberia (UNMIL) received 12 allegations (16 per cent); the United Nations Mission in the Sudan (UNMIS) received 7 allegations (10 per cent); the African Union-United Nations Hybrid Operation in Darfur (UNAMID) received 4 allegations (6 per cent); the United Nations Operation in Côte d'Ivoire (UNOCI) received 3 allegations (4 per cent); the United Nations Mission in South Sudan (UNMISS) received 1 allegation (1 per cent); and the United Nations Integrated Mission in Timor-Leste (UNMIT) received 1 allegation (1 per cent).

12. The Secretary-General remains deeply concerned about the number of allegations involving the most egregious forms of sexual exploitation and abuse, notably instances of sexual abuse of minors. These instances represent 22 of the 74 allegations of sexual exploitation and abuse received in 2011 (30 per cent). Furthermore, an additional nine of the 74 allegations received (12 per cent) involved the sexual abuse of persons above the age of 18 or of persons for whom age could not be ascertained. Therefore, in 2011, 31 allegations (42 per cent) concerned instances of the most egregious forms of sexual exploitation and abuse. The remaining 43 allegations (58 per cent) concerned prohibited consensual activities (transactional and/or exploitative sexual relations) or assistance in the procurement of sexual favours.

13. In terms of the proportion of alleged sexual exploitation and abuse per category of deployed personnel reported in 2011, 41 of the 74 reported allegations (55 per cent) involved military personnel, of which 34 concerned contingent personnel and seven related to military observers.[3] A total of 27 of the 74 reported allegations (36 per cent) involved civilian personnel, of which 21 concerned staff members, three related to United Nations Volunteers, and three involved individuals employed by United Nations contractors.[4] Finally, six of the 74 allegations (8 per cent) received involved police personnel.[5] To compare allegations in relation with the total number of deployed personnel per category, a ratio of allegations of sexual

[3] Military personnel includes personnel from military contingents that are deployed under a memorandum of understanding between the United Nations and troop-contributing countries and military observers individually deployed as experts on mission for the United Nations.

[4] Civilian personnel includes staff members appointed by the Secretariat, United Nations Volunteers under contract with the United Nations Development Programme, individuals contracted by the United Nations and individuals employed by United Nations contractors.

[5] Police personnel include individually deployed United Nations police officers and members of formed police units, all deployed as experts on mission for the United Nations.

exploitation and abuse per 10,000 personnel deployed is used.[6] That ratio is of 10.2 allegations per 10,000 civilian personnel,[7] 4.6 allegations per 10,000 military personnel and 4.1 allegations per 10,000 police personnel deployed. For all categories of personnel deployed in peacekeeping and special political missions, the ratio is of 5.6 allegations per 10,000 personnel (or one allegation to 1,763 personnel in 2011, as compared with one allegation to 1,484 personnel in 2010) but, in MONUSCO for example, the ratio climbs to 13.3 allegations per 10,000 personnel deployed.

14. Regarding the status, as at 31 December 2011, of investigations into allegations of sexual exploitation and abuse, of those allegations reported in 2008, investigations had been completed in 77 per cent of instances; for allegations reported in 2009, investigations had been completed in 71 per cent of instances; for allegations reported in 2010, investigations had been completed in 60 per cent of instances; and for allegations reported in 2011, investigations had been completed in 26 per cent of instances. The results of all investigations completed between 2008 and 2011 indicate that, in 54 per cent of instances, allegations reported during that period were substantiated.[8] In that regard, it is once again important to note that allegations found to be unsubstantiated through investigations were not necessarily false or made mala fides. Allegations were often found to be unsubstantiated because of factors such as a lack of conclusive evidence, a lack of witnesses or the impossibility of positively identifying alleged perpetrators.

15. Concerning the referrals for investigation under the provisions of the revised model memorandum of understanding with troop-contributing countries, in 2011, 25 referrals were made to eight Member States. In return, the Department of Field Support received 13 responses from seven Member States, indicating that they intended to conduct an investigation or appoint an officer to carry out investigations in coordination with the United Nations. When no response is received from Member States, the United Nations conducts its own administrative investigations into allegations. As of 31 December 2011, the final results of the investigations were shared with the United Nations in relation to eight of those 13 instances investigated by Member States. Concerning two of those eight investigations, the allegations were found to be unsubstantiated, while in six other investigations the allegations were found to be substantiated, in whole or in part, and the Member States reported on disciplinary action taken. Member States were also notified of five allegations involving personnel with the status of experts on mission and for which the United Nations is conducting the related investigations.

[6] This is a different method of calculation from the one used in the previous report, in order to better represent the data. The total number of personnel deployed per category was calculated by taking a yearly average of monthly deployment data recorded by the Department of Peacekeeping Operations and the Department of Field Support for peacekeeping operations, on the one hand, and by the Department of Public Information in consultation with the Department of Political Affairs and the Department of Peacekeeping Operations for political and peacebuilding missions, on the other hand.

[7] The number of contracted personnel deployed was not available to be included in the total number of civilian personnel deployed. However, it is expected that this would not significantly affect the ratio.

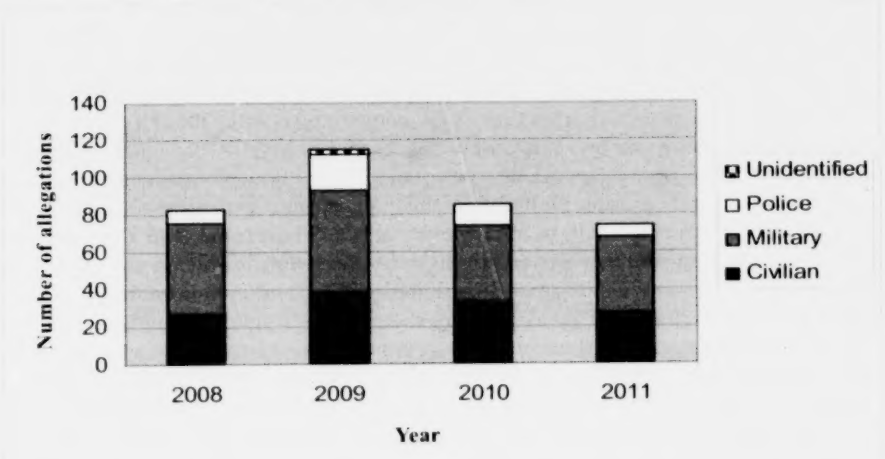
[8] Data compiled from the misconduct tracking system of the Department of Peacekeeping Operations and the Department of Field Support, as at 14 January 2011.

16. Regarding disciplinary actions, in 2011 the Departments of Peacekeeping Operations and of Field Support referred one individual to the United Nations Volunteers Programme Manager for disciplinary action or other appropriate action following substantiated allegations of sexual exploitation and abuse by civilian personnel. The Office of Human Resources Management indicated that one staff member received a reprimand for failing to report an allegation of sexual exploitation and abuse. Furthermore, in cooperation with the Department of Management, follow-up measures were taken in relation to instances of sexual exploitation and abuse involving personnel from two companies providing contracted services to the United Nations. Regarding disciplinary actions for military and police personnel, in 2011 there were 35 referrals made to 18 troop- and police-contributing Member States for disciplinary action following investigations substantiating allegations of sexual exploitation and abuse, received in 2011 or earlier. The Department of Field Support received 22 responses from 11 Member States indicating that disciplinary action would be or had been taken as a result. In their responses on action taken, Member States indicated having taken measures against their personnel that included arrest pending further court martial procedures, reduction in rank and dismissal from service, fines, extra duty and reduction in rank, as well as imprisonment. Those measures were taken in response to substantiated allegations reported at MONUSCO, UNMIL, UNOCI and MINUSTAH. The Secretariat also provided support and information in relation to criminal prosecutions by two Member States under their national jurisdictions. One instance involves a former expert on mission at MINUSTAH and the other relates to a member of military personnel, also formerly deployed in MINUSTAH.

III. Observations

17. For peacekeeping and special political missions supported by the Department of Field Support, the total number of allegations reported decreased in 2011 (74 allegations), compared with the number reported in 2010 (85 allegations) and in 2009 (112 allegations). The number of allegations reported for 2011 is the lowest number since 2006, when there was a total of 357 allegations (see figure I).

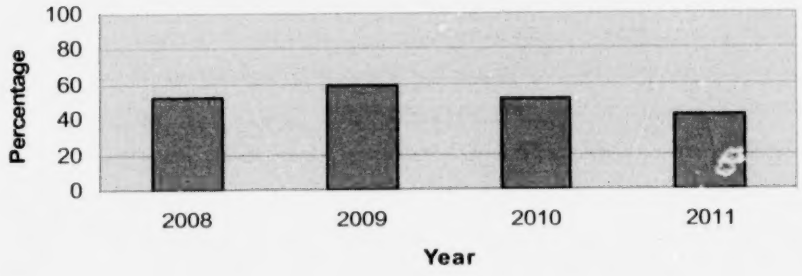
Figure I
Total allegations by category of personnel, 2008-2011



Source: Office of Internal Oversight Services.

18. The reporting period also saw a reduction in the number and percentage of allegations concerning the most egregious forms of sexual exploitation and abuse, namely sexual activities with minors and non-consensual sex, which, at 42 per cent (31 of 74 allegations) is below figures that had remained fairly constant since 2008, the first year when this statistic became available, whereby between 50 and 59 per cent of all reported allegations involved sexual activities with minors and non-consensual sex (see figure II).

Figure II
Percentage of allegations of the most egregious forms of sexual exploitation and abuse compared with the total number of allegations, 2008-2011

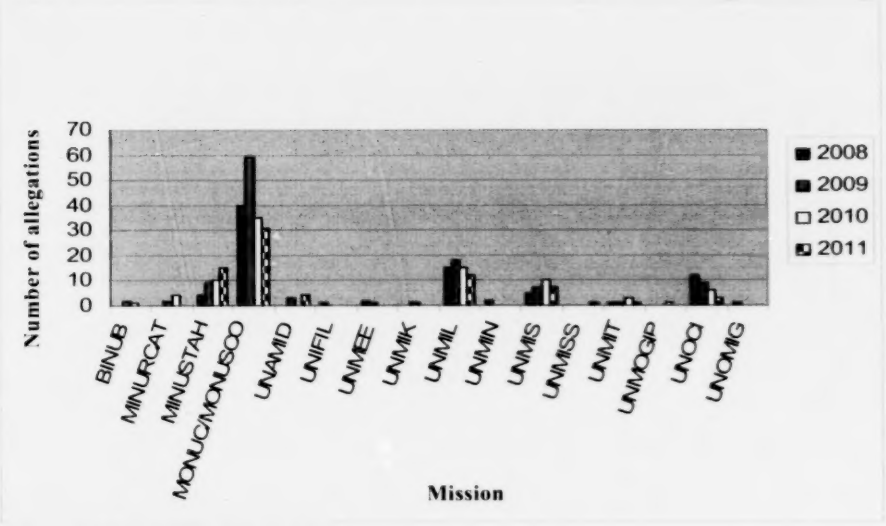


Source: Office of Internal Oversight Services.

19. At the level of individual missions, the figures for the number of allegations broken down by mission also demonstrate a decrease in the reported number of allegations, as compared with 2010, for MONUSCO, UNMIL, UNMIS (even when including the figures for UNMISS), UNOCI and UNMIT. On the other hand, there was an increase in the number of reported allegations of sexual exploitation and abuse received for MINUSTAH, with five additional allegations, and for UNAMID, which had received no allegations in 2010 (see figure III). The five peacekeeping missions most affected remain, in order: MONUSCO first (as in 2010), MINUSTAH second (third in 2010), UNMIL third (second in 2010), UNMIS and UNMISS combined are fourth (UNMIS was also fourth in 2010) and UNAMID as the fifth (UNOCI was the fifth mission in 2010). Allegations arising out of MONUSCO continue to represent 42 per cent of all allegations received, a figure that has varied little since 2008. For MINUSTAH, while allegations represented less than 10 per cent of all allegations reported in 2008 and 2009, this figure increased in 2010 (11 per cent) and increased to 20 per cent in 2011. With 16 per cent of all reported allegations, the figure for UNMIL is comparable to that of previous years.

Figure III

Allegations of sexual exploitation and abuse by mission, 2008-2011

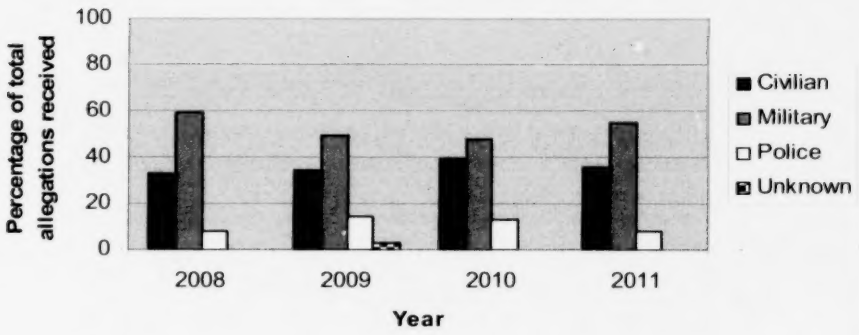


Source: Office of Internal Oversight Services.

Abbreviations: BINUB/BNUB, United Nations Integrated Office in Burundi/United Nations Office in Burundi; MINURCAT, United Nations Mission in the Central African Republic and Chad; MINUSTAH, United Nations Stabilization Mission in Haiti; MONUC/MONUSCO, United Nations Organization Mission in the Democratic Republic of the Congo/United Nations Organization Stabilization Mission in the Democratic Republic of the Congo; UNAMID, African Union-United Nations Hybrid Operation in Darfur; UNIFIL, United Nations Interim Force in Lebanon; UNMEE, United Nations Mission in Ethiopia and Eritrea; UNMIK, United Nations Interim Administration Mission in Kosovo; UNMIL, United Nations Mission in Liberia; UNMIN, United Nations Mission in Nepal; UNMIS, United Nations Mission in the Sudan; UNMISS, United Nations Mission in South Sudan; UNMIT, United Nations Integrated Mission in Timor-Leste; UNMOGIP, United Nations Military Observer Group in India and Pakistan; UNOCI, United Nations Operation in Côte d'Ivoire; UNOMIG, United Nations Observer Mission in Georgia.

20. Per categories of personnel, the number of allegations reported against military personnel remained the same (41 allegations) in 2011 as in 2010, whereas the reduction in the overall number of allegations concerned allegations concerning civilian personnel (27 allegations in 2011, 31 in 2010) and police personnel (6 allegations in 2011, 11 in 2010). Furthermore, allegations of sexual exploitation and abuse continued to be reported in greater proportion and numbers against military personnel, at 55 per cent, in line with proportions for previous years, with a low of 48 per cent in 2010 and a high of 59 per cent in 2008. Civilian personnel also remained second in terms of proportion, at 36 per cent, a figure that again remained fairly constant from previous years, oscillating between 39 per cent (2010) and 33 per cent (2008). Police personnel were the subject of 8 per cent of all reported allegations in 2011, which is the same proportion as the percentage recorded in 2008, whereas allegations concerning police personnel represented 14 per cent of allegations reported in 2009 (see figure IV).

Figure IV
Percentage of allegations by category of personnel, 2008-2011



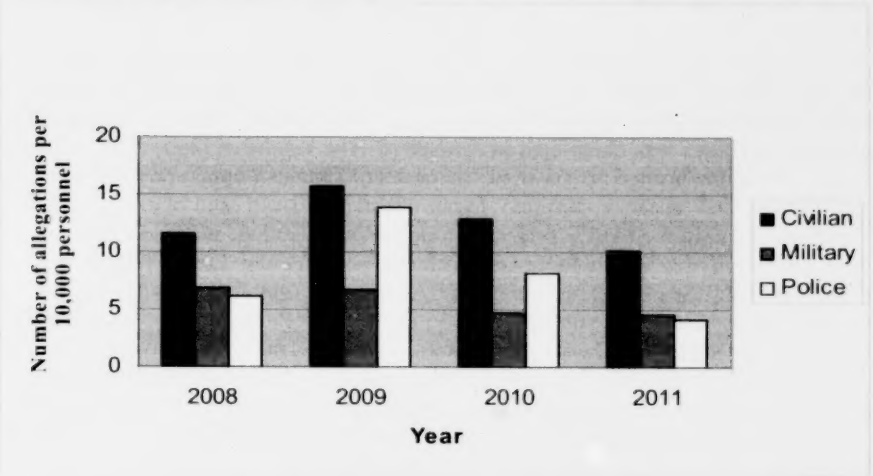
Source: Office of Internal Oversight Services.

21. The numbers and proportions of allegations per category of personnel also has to be considered in view of the fact that the United Nations has different numbers of military, civilian and police personnel deployed. This is highlighted by the ratio of allegations of sexual exploitation and abuse per 10,000 personnel deployed, as reported to the Office of Internal Oversight Services.[9] In this respect, civilian personnel continue to have the highest ratio in 2011, with 10.2 allegations per 10,000 deployed personnel, as compared with ratios of 12.9 in 2010, 15.7 in 2009 and 11.6 in 2008. For military personnel the ratio was of 4.6 allegations per 10,000 personnel deployed in 2011, a similar ratio as in 2010, with 4.7, and ratios of 6.7 in 2009, and 6.3 in 2008. For police personnel, the ratio was of 4.1 allegations per

[9] A reported allegation may point to the involvement of one or more individuals as alleged perpetrators, such information often only becoming available once the matter has been investigated.

10,000 deployed personnel in 2011, compared with ratios of 8.2 in 2010, 13.9 in 2009, and 6.1 in 2008 (see figure V). An overall improvement is to be noted for all categories of personnel, with a marked improvement over the past year for police personnel. To further address this issue, as part of the meeting of senior-most representatives discussed in the present report, it was recognized that training and sensitization programmes need to place greater emphasis on the imbalance of power between our personnel and the population of host countries, and on the plight of the victims of sexual exploitation and abuse. Where needed, existing programmes will be adapted accordingly.

Figure V
Number of allegations per 10,000 personnel deployed, 2008-2011



Source: Office of Internal Oversight Services and the Departments of Peacekeeping Operations, Field Support, Political Affairs and Public Information.

22. Communications with Member States continued to increase in 2011, with an overall response rate of 58 per cent, as compared with 39 per cent in 2010, 17 per cent in 2009 and 11 per cent in 2008. This is the case both as regards requests made by the Secretariat to Member States to investigate allegations, with a 52 per cent response rate in 2011, and in relation to responses from Member States on action taken by them in terms of disciplinary or other measures, where the rate of response stands at 62 per cent in 2011. On a very positive note, in a recent meeting with representatives from one Member State, information was provided on action taken by that Member State concerning over 60 cases, including some 23 cases of sexual exploitation and abuse, over the period between 2007 and 2011. Of interest is the fact that this meeting pointed to a lack of understanding, on the part of the Member State, as to the expectations of the United Nations in terms of information exchanges on cases of misconduct dealt with under the revised memorandum of understanding between the United Nations and the troop-contributing countries, as well as difficulties in effecting such information exchanges when different governmental components need to be involved in providing the required information. This situation highlights the fact that, while the United Nations has taken steps to map out processes and responsibilities concerning the implementation

of the revised memorandum of understanding, including by adopting standard operating procedures on the subject, some confusion apparently persists as to how Member States are to meet the expectations of the United Nations when exercising their responsibilities. Therefore, there remains room to improve communication and the Department of Field Support will attempt to engage further with Member States, as well as intensify its efforts towards regular follow-up with Member States in that regard.

IV. Strengthening measures for protection from sexual exploitation and sexual abuse

Task Force on Protection from Sexual Exploitation and Abuse

23. A global review of protection from sexual exploitation and abuse by personnel of the United Nations, non-governmental organizations, the International Organization for Migration and the International Federation of Red Cross and Red Crescent Societies was completed in June 2010. The results of the review indicated that much more needed to be done to protect affected populations from sexual exploitation and abuse committed by humanitarian staff, and the Inter-Agency Standing Committee (IASC) was called upon to strengthen its leadership on the issue, especially at the field level. In January 2011, the IASC Task Force on Protection from Sexual Exploitation and Abuse was established, with a two-year mandate focused on supporting field activities in the following areas: strengthening leadership by supporting heads of agencies in implementing obligations related to protection from sexual exploitation and abuse; supporting field offices in implementing joint community-based complaint mechanisms (including victim assistance); and supporting Task Force members in institutionalizing protection from sexual exploitation and abuse in their organizations.

24. In line with its workplan for 2011, the Task Force, co-chaired by UNDP and the International Rescue Committee, was involved in the following activities: (a) best practices were shared during Task Force meetings related to joint complaints mechanisms, reporting procedures, barriers to reporting, and ways to gain senior management support for protection from sexual exploitation and abuse; (b) information about the IASC review, the work of the Task Force and protection from sexual exploitation and abuse in general was included in an article submitted to the magazine *Humanitarian Exchange*;[10] (c) the new website[11] has been redesigned by adding a new online library with a search engine, a new logo, a new URL and switching to a new hosting service; (d) a funding proposal was drafted to implement the joint community-based complaint mechanisms project of the Task Force and potential donors are being approached; in this regard the three pilot countries will be Haiti, Kenya and Sri Lanka; and (e) 11 Task Force members (Catholic Relief Services, the Conduct and Discipline Unit of the Department of Field Support, Food for the Hungry, the International Organization for Migration (IOM), the International Rescue Committee, the Lutheran World Federation, Save the Children UK, UNDP, the Women's Refugee Commission, the World Food Programme (WFP) and World Vision International) have undertaken a voluntary

[10] Available at: www.odihpn.org.

[11] Available at: http://pseataskforce.org.

self-assessment and submitted a workplan on protection from sexual exploitation and abuse.

25. Further inroads have been made by senior management in their commitment to protection from sexual exploitation and abuse and in a meeting of the IASC principals in December 2011, they agreed:

(a) To designate a senior focal point within each organization to be responsible for prevention of and response to sexual exploitation and abuse. More specifically, the focal points are expected to undertake the following tasks: (i) to engage effectively and resolve problems with the organization's departments for policy, human resources (including recruitment and staff training), audit, investigations, accountability and programming; (ii) to act as liaison between the principals and Task Force members; and (iii) to have a direct reporting line to senior management on prevention of sexual exploitation and abuse;

(b) To share each other's workplan for 2012-2013 for addressing sexual exploitation and abuse by their staff;

(c) To have the Director-General of IOM convene the designated focal points for prevention of sexual exploitation and abuse to check on progress and report to the IASC principals.

Department of Field Support Conduct and Discipline Unit and Teams

26. In 2011, 12 Conduct and Discipline Teams were in place in peacekeeping and special political missions supported by the Department of Field Support, covering 19 missions and the United Nations Logistics Base at Brindisi, Italy (UNLB). During the period under review, Conduct and Discipline Teams were operational in the following missions: the United Nations Assistance Mission in Afghanistan (UNAMA),[12] UNOCI, MONUSCO, UNMIL, the United Nations Interim Administration Mission in Kosovo (UNMIK), MINUSTAH, the United Nations Assistance Mission for Iraq (UNAMI), the United Nations Interim Force in Lebanon (UNIFIL),[13] UNMIS, UNMISS, UNAMID, UNMIT and the United Nations Mission for the Referendum in Western Sahara (MINURSO).

27. Conduct and Discipline Teams continue to develop and implement various measures on prevention, enforcement and remedial action. Based on monthly mission reports submitted in 2011, training on prevention of sexual exploitation and abuse was conducted either as part of the induction of new personnel in missions, or in separate sessions. Other preventive measures such as off-limit areas and curfews continue to be in place in several missions. All missions where Conduct and Discipline Teams are present have established reporting mechanisms, which take various forms, including telephone hotlines, specific e-mail addresses, drop boxes, contact with local non-governmental organizations and the distribution to local partners of information on how to report complaints. In missions without assigned

[12] Also covering the United Nations Military Observer Group in India and Pakistan (UNMOGIP).

[13] Also covering the United Nations Disengagement Observer Force (UNDOF), the United Nations Peacekeeping Force in Cyprus (UNFICYP), the United Nations Truce Supervision Organization (UNTSO), the Office of the United Nations Special Coordinator for the Middle East Peace Process, the Office of the United Nations Special Coordinator for Lebanon and UNLB.

Conduct and Discipline Teams, Conduct and Discipline focal points are designated to receive and follow up on complaints of misconduct, including sexual exploitation and abuse.

28. Communication and awareness-raising activities among Conduct and Discipline Teams consisted of messages on prevention of misconduct and sexual exploitation and abuse, pride of purpose and behaviour appropriate to United Nations personnel. This was delivered through intra-mission tools such as radio and online broadcast messaging, e-mail alerts, posters and administrative instructions from mission leadership. Some Conduct and Discipline Teams also partner with local government and local and international non-governmental organizations on efforts to promote protection from sexual exploitation and abuse.

29. In relation to activities on remedial action, Conduct and Discipline Teams for 13 missions, including the United Nations Military Observer Group in India and Pakistan (UNMOGIP), responded to a survey, conducted in September 2011, on the implementation of the victim assistance strategy. The survey was focused on the identification of basic services and action taken as related to assisting victims. Key results on responses provided were as follows: (a) mapping of services[14] has been done by six missions; (b) secure shelters, safe houses or community centre-type structures exist in only 3 of the 13 missions; (c) only 2 of the 13 missions have had to refer a victim for emergency or general medical assistance, counselling or legal services; and (d) only one mission has had to refer a victim to a safe shelter. Efforts to have formalized victim assistance mechanisms continue in missions, and partnerships are being pursued with United Nations country teams and local communities on joint reporting mechanisms and referral pathways for various services. This is taking place in most missions where allegations of sexual exploitation and abuse continue to be received. Based on efforts already in place, the Conduct and Discipline Unit is working with Conduct and Discipline Teams to develop a victim assistance framework that will serve as an adaptable template towards a formal mechanism.

30. In broader efforts, the concept of an integrated conduct and discipline framework was put forward in 2011, with the objective of enhancing the integration of conduct and discipline in field missions as a global corporate function. The Integrated Conduct and Discipline Framework anchors itself to the principle of strengthened accountability as a fundamental prerequisite for ensuring that authority for managing the conduct of personnel is properly exercised and directed towards the achievement of efficiency, effectiveness, responsiveness and transparency. The development of this framework and strategic initiatives under its four pillars of integration, capacity-building; outreach, including information dissemination and communication; and performance-based accountability, reflect the need to approach conduct and discipline from an organizational behaviour model rather than a more transactional approach that, currently, primarily responds to conduct at the individual incident level. With the aim of furthering good governance, robust oversight and enforcement and strengthened risk management, the Department of Field Support is developing an accountability framework for conduct and discipline that is aligned with senior leadership compacts and the personal accountability of managers and individuals; a risk management and monitoring framework enabling more targeted mitigation and prevention measures, particularly in the area of sexual

[14] Including medical, legal, psychosocial care, safe houses or shelters.

exploitation and abuse; and strengthened reporting mechanisms and victim assistance support.

Update on activities and policies relevant to the prevention of sexual exploitation and abuse in peacekeeping and special political missions

31. A meeting involving senior-most representatives of the United Nations was hosted by the Department of Field Support in October 2011 as an opportunity for them to discuss and formulate a renewed proactive strategy on addressing sexual exploitation and abuse by mission personnel. Overall, participants noted that particular attention must be given to prevention and accountability and, in this regard, actions by the United Nations as well as by Member States need to be considered as a possible way forward. These include a review and strengthening of training materials and awareness-raising messages to ensure that standards and values are clearly communicated and understood; preventive measures that further consider risk identification and management, in particular as regards United Nations civilian personnel, as well as early warning mechanisms; strengthened technical and operation capacity on investigations; improved enforcement and prosecution efforts in partnership with host countries and Member States; strengthened reporting from Member States on follow-up actions; further implementation of the victim assistance strategy by all United Nations entities; and a possible in-depth assessment using a multidisciplinary approach to examine the root causes of sexual exploitation and abuse.

32. The activities of the Conduct and Discipline Unit and Teams continued along the lines established within the three-pronged comprehensive strategy to address sexual exploitation and abuse: prevention, enforcement and remedial action. Other major activities and outcomes for 2011 include the following:

(a) The induction training programme on conduct and discipline was again delivered for the MINUSTAH Conduct and Discipline Team in June 2011. The 4-day programme provided guidance to inform the members of Conduct and Discipline Teams, as well as conduct and discipline focal points when applicable, about their role in terms of prevention, enforcement and remedial action, as a means of addressing conduct and discipline issues, and sexual exploitation and abuse in particular, among United Nations personnel in peacekeeping and special political missions;

(b) The induction training programme is also linked to an advisory document for conduct and discipline personnel that is being finalized. The document was updated by a consultant and circulated to Conduct and Discipline Teams for further feedback. It provides a step-by-step guidance for conduct and discipline practitioners in the field, in an effort to build on the experiences and practices of past years and to have more standardized practices among field missions and headquarters;

(c) Ongoing public information activities included issuing quarterly press releases as part of United Nations efforts to improve transparency on the issue of sexual exploitation and abuse involving personnel of peacekeeping and special political missions and responding to media enquiries and external requests for

information. In that respect, the interactive "dashboard" on the Conduct and Discipline website continues to enable the public to search for statistics on misconduct allegations, in particular on allegations of sexual exploitation and abuse, under a variety of parameters.

V. Conclusions

33. During the reporting period, 102 allegations of sexual exploitation and abuse were reported. As in previous years, a large majority of allegations involved personnel deployed in peacekeeping missions but, in the reporting period, none involved personnel deployed in special political missions supported by the Department of Field Support. For the fourth consecutive year, all entities requested to provide information on allegations of sexual exploitation and abuse did so, confirming the continuous commitment of the United Nations community to address and prevent sexual exploitation and abuse. All the entities also confirmed making efforts to ensure that all staff members and related personnel were aware of the content of the Secretary-General's bulletin on special measures for protection from sexual exploitation and sexual abuse.

34. In peacekeeping and special political missions supported by the Department of Field Support, continued progress was made in combating sexual exploitation and abuse globally. Together with the commitment of Member States, over the past six years, the structures, preventive measures and awareness-raising and training activities that have been put in place have contributed to the positive results achieved so far. Although some variances are still observed, the statistical data available point to a continuing downward trend, including in relation to allegations involving the most egregious forms of sexual abuse, which this year, for the first time, represent less than 50 per cent of the total number of allegations reported.

35. The Secretary-General remains fully committed to his policy of zero tolerance of sexual exploitation and abuse and to his efforts to prevent the perpetration of acts of sexual exploitation and abuse by United Nations staff members and related personnel. Although the trend in the data is positive, any substantiated case of sexual exploitation and abuse is one case too many. Instances of sexual exploitation and abuse of beneficiaries are intolerable and those involving minors and non-consensual sexual abuse are particularly abhorrent. The Secretary-General is determined to root out such acts through strengthened accountability and enforcement measures, ensuring that standards of conduct are applied, without exception or distinction, to all categories of personnel.

36. To that effect, the Secretary-General is determined to take any and all necessary measures to enforce leadership, managerial and individual responsibility. In connection with measures that the Secretary-General may undertake within the existing legal and policy framework, he will not hesitate to lift the immunity of staff members and experts on mission who are alleged to have engaged in criminal conduct, provided that there is an expectation that the alleged perpetrators will receive a prompt, fair and impartial hearing that conforms to accepted international norms. The Secretary-General also will not hesitate to repatriate an entire military or police contingent where it is determined that serious misconduct, particularly sexual exploitation and abuse, has occurred owing to failures by the chain of command. In this connection, the Secretary-General also will vigorously follow-up with troop-

contributing countries about the outcome of investigations, carried out by them, into allegations of sexual exploitation and abuse that have been raised against one or more members of their contingents, and will regularly make public the results of that follow-up.

37. The Secretary-General has concluded, however, that the present framework of sanctions should be supplemented with additional measures that will create a range of progressively more severe penalties applicable both to individual perpetrators and to groups that have, through their acts and omissions, either abetted or condoned sexual exploitation and abuse within their community. This requires the articulation of unambiguous standards of conduct and the establishment of sanctions for failures in leadership and group tolerance of prohibited conduct.

38. Much has been accomplished over the past decade, as the data in this report illustrates. Much still needs to be done, as the unacceptable continued incidence of the sexual abuse of minors and non-consensual sex with adults demonstrate. There is much more to be done. In all respects, the partnership between the United Nations and Member States remains essential in ensuring accountability for those members of personnel who fail to protect the population they are mandated to serve. The Secretariat and Member States share a collective responsibility, which requires each actor to carry out its responsibilities in a fully committed manner if the tide of sexual exploitation and abuse is to be stemmed, and to prevent future incidents of these egregious acts.

39. **The General Assembly is requested to take note of the present report.**

Annex I

United Nations entities requested to provide information on allegations of sexual exploitation and abuse

Department for General Assembly and Conference Management

Department of Economic and Social Affairs

Department of Field Support

Department of Management

Department of Peacekeeping Operations

Department of Political Affairs

Department of Public Information

Department of Safety and Security

Economic and Social Commission for Asia and the Pacific

Economic and Social Commission for Western Asia

Economic Commission for Africa

Economic Commission for Europe

Economic Commission for Latin America and the Caribbean

International Criminal Tribunal for Rwanda

International Trade Centre

International Tribunal for the Former Yugoslavia

Joint United Nations Programme on HIV/AIDS (UNAIDS)

Office for Disarmament Affairs

Office for the Coordination of Humanitarian Affairs

Office of Internal Oversight Services

Office of Legal Affairs

Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States

Office of the Secretary-General

Office of the Special Adviser on Africa

Office of the Special Representative of the Secretary-General for Children and Armed Conflict

Office of the United Nations High Commissioner for Human Rights

Office of the United Nations High Commissioner for Refugees

Peacebuilding Support Office

United Nations Children's Fund

United Nations Conference on Trade and Development

United Nations Entity for the Gender Equality and the Empowerment of Women

United Nations Development Programme

United Nations Joint Staff Pension Fund

United Nations Office at Geneva

United Nations Office at Nairobi[a]

United Nations Office at Vienna[b]

United Nations Office for Project Services

United Nations Population Fund

United Nations Relief and Works Agency for Palestine Refugees in the Near East

United Nations University

United Nations Volunteers Programme

World Food Programme

[a] Including the United Nations Environment Programme and the United Nations Human Settlements Programme (UN-Habitat).

[b] Including the United Nations Office on Drugs and Crime.

Annex II

Nature of allegations by entities other than peacekeeping and special political missions supported by the Department of Field Support, for the year 2011

Nature of allegation	*International Criminal Tribunal for Rwanda*	*United Nations Development Programme*	*Office of the United Nations High Commissioner for Refugees*	*United Nations Children's Fund*	*United Nations Office for Project Services*	*United Nations Relief and Works Agency for Palestine Refugees in the Near East*	*United Nations Volunteers*	*Total*
Rape								
Victim under 18	1							1
Victim over 18								
Sex with minors				1	1	1		3
Sexual assault								
Victim under 18						2		2
Victim over 18		1		3				4
Trafficking of persons for sexual exploitation								
Exchange of money, employment, goods or services for sex			9			1		10
Solicitation of prostitutes								
Victim under 18								
Victim over 18						1		1
Other forms of sexual exploitation and abuse				1		5	1	7
Other violations of the provisions of ST/SGB/2003/13 (e.g., false reporting of SEA)								
Total	**1**	**1**	**9**	**5**	**1**	**10**	**1**	**28**

Annex III

Status of investigations into allegations received in 2011 involving entities other than peacekeeping and special political missions supported by the Department of Field Support

Entity	*Allegations received*	*Status of investigation as at 31 December 2011*		
		Unsubstantiated or closed	*Substantiated or report under review*	*Investigation ongoing*
International Criminal Tribunal for Rwanda	1	—	—	1
United Nations Development Programme	1	—	1	—
Office of the United Nations High Commissioner for Refugees	9	4	—	5
United Nations Children's Fund	5	2	1[a]	2
United Nations Office for Project Services	1	—	—	1
United Nations Relief and Works Agency for Palestine Refugees in the Near East	10	4	5	1
United Nations Volunteers	1	—	—	1
Total	**28**	**10**	**7**	**11**

[a] The individual involved, who was a local staff member, was prosecuted by the local authorities and was subsequently separated from service.

Annex IV

Number of allegations reported to the Office of Internal Oversight Services in 2011 involving personnel of the Department of Peacekeeping Operations and the Department of Field Support, by field mission

Mission	*January*	*February*	*March*	*April*	*May*	*June*	*July*	*August*	*September*	*October*	*November*	*December*	***Total***
United Nations Stabilization Mission in Haiti		3	1	2	1	2	2	2			1	1	**15**
United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	1	5	1	1	2	1	2	8	1	2	4	3	**31**
African Union-United Nations Hybrid Operation in Darfur						3		1					**4**
United Nations Mission in Liberia			2	2	3		3	1	1				**12**
United Nations Mission in the Sudan	1			2	1	1						2	**7**
United Nations Mission in South Sudan								1					**1**
United Nations Integrated Mission in Timor-Leste	1												**1**
United Nations Operation in Côte d'Ivoire								2				1	**3**
Total	**3**	**8**	**4**	**7**	**7**	**7**	**7**	**15**	**2**	**2**	**5**	**7**	**74**

Annex V

Number of allegations, by field mission and category of personnel, reported to the Office of Internal Oversight Services in 2011 involving personnel of the Department of Peacekeeping Operations and the Department of Field Support

Mission	*Staff Member*	*United Nations Volunteer*	*Contractor*	*Military personnel*	*Military observer*	*United Nations police*	***Total***
United Nations Stabilization Mission in Haiti	3	—	—	8	—	4	**15**
United Nations Organization Stabilization Mission in the Democratic Republic of the Congo	7	1	2	16	4	1	**31**
African Union-United Nations Hybrid Operation in Darfur	3	—	—	1	—	—	**4**
United Nations Mission in Liberia	3	1	1	5	2	—	**12**
United Nations Mission in the Sudan	5	—	—	2	—	—	**7**
United Nations Mission in South Sudan	—	—	—	—	1	—	**1**
United Nations Integrated Mission in Timor-Leste	—	1	—	—	—	—	**1**
United Nations Operation in Côte d'Ivoire	—	—	—	2	—	1	**3**
Total	**21**	**3**	**3**	**34**	**7**	**6**	**74**